



DIVISION OF  
ENFORCEMENT

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, D.C. 20549

November 1, 2023

Via ECF

The Honorable John P. Cronan  
United States District Judge  
U.S. District Court for the Southern District of New York  
500 Pearl Street  
New York, NY 10007-1312

Re: ***SEC v. Cole***, No. 1:19-CV-11148-JPC  
**Joint Status Letter**

Dear Judge Cronan:

Pursuant to this Court's October 19, 2020, Order (*see* ECF No. 26), the parties respectfully submit this status letter to update the Court regarding the proceedings in *United States v. Neil Cole*, 19-CR-00869-ER.

Since the last status letter was filed on May 5, 2023 (*see* ECF No. 47), Mr. Cole's sentencing was held on October 10, 2023. Judge Ramos sentenced Mr. Cole to 18 months of incarceration, 3 years of supervised release, and entered a preliminary order of forfeiture of \$790,200. Mr. Cole filed his notice of appeal on October 25, 2023, and remains free on bail pending his appeal. The briefing on appeal is expected to be completed by May 2024.

The next status letter in this matter will be filed on or before January 30, 2024.

Respectfully submitted,

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